

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In the matter of the application of:

Stephen G. Bodurtha, et al.

For : SECURITY RECEIPTS MANAGEMENT SYSTEM

Assistant Commissioner for Patents
Washington, D.C. 20231



INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. 1.97, applicants hereby submit their statement regarding certain references known to applicants that may have bearing on the examination of the above-identified application. A separate PTO-1449 form is attached and copies of each patent listed are enclosed for the examiner's reference.

1. United States Patent No. 4,346,442 to Musmanno, issued on August 24, 1982;
2. United States Patent No. 4,376,978 to Musmanno, issued on March 15, 1983;
3. United States Patent No. 4,597,046 to Musmanno, et al., issued on June 24, 1986;
4. United States Patent No. 4,674,044 to Kalmus, et al., issued on June 16, 1987;
5. United States Patent No. 4,700,297 to Hagel, Sr., et al., issued on October 13, 1987;
6. United States Patent No. 4,774,663 to Musmanno, et al., issued on September 27, 1988;
7. United States Patent No. 5,270,922 to Higgins, issued on December 14, 1993;

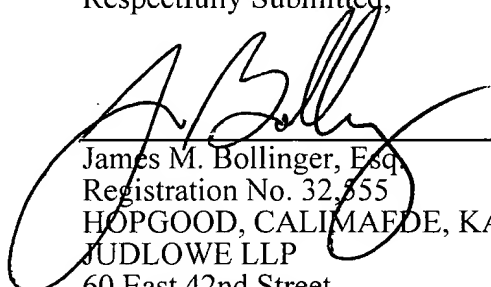
8. United States Patent No. 5,297,032 to Trojan, et al., issued on March 22, 1994;
9. United States Patent No. 5,671,363 to Cristofich, et al., issued on September 23, 1997;
10. United States Patent No. 5,765,144 to Larche, et al., issued on June 9, 1998;
11. United States Patent No. 5,781,654 to Carney, issued on July 14, 1998;
12. United States Patent No. 5,826,243 to Musmanno, et al., issued on October 20, 1998;
13. United States Patent No. 5,878,258 to Pizi, et al., issued on March 2, 1999;
14. United States Patent No. 5,890,141 to Carney, et al., issued on March 30, 1999;
15. United States Patent No. 5,940,809 to Musmanno, et al., issued on August 17, 1999;
16. United States Patent No. 5,941,996 to Smith, et al., issued on August 24, 1999;
17. United States Patent No. 5,950,175 to Austin, issued on September 7, 1999;
18. United States Patent No. 5,978,779 to Stein, et al., issued on November 2, 1999;
19. United States Patent No. 6,014,642 to El-Kadi, et al., issued on January 11, 2000;
20. United States Patent No. 6,016,482 to Molinari, et al., issued on January 18, 2000;
21. United States Patent No. 6,026,438 to Piazza, et al., issued on February 15, 2000;
22. United States Patent No. 6,044,371 to Person, et al., issued on March 28, 2000;
23. United States Patent No. 6,047,324 to Ford, et al., issued on April 4, 2000;
24. United States Patent No. 4,953,085 to Atkins, issued on August 28, 1990;
25. United States Patent No. 5,235,507 to Sackler, et al., issued on August 10, 1993;
26. United States Patent No. 5,806,049 to Petruzzi, issued on September 8, 1998;
27. United States Patent No. 5,774,880 to Ginsberg, issued on June 30, 1998;

28. United States Patent No. 5,905,974 to Fraser, et al., issued on May 18, 1999;
29. United States Patent No. 5,206,803 to Vitagliano, et al., issued on April 27, 1993; and
30. United States Patent No. 5,126,936 to Champion, et al., issued on June 30, 1992.

In addition to the above printed publications, market securities known as SPDR®s ("Spiders") are traded on an exchange. These securities are tied to a collection of underlying equities and are in some instances organized by industry (Sector SPDR®s), such as health, etc.

Respectfully Submitted,

Dated: May 19, 2000



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